Final Report

A record of the program, participants and the proceedings

prepared by

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for

USAID's Urban Programs Team (EGAT/PR/UP)

and

The Africa Regional Urban Development Office (AFR/RUDO)

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EXECUTIVE SUMMARY

Objective of the training

Within 30 years, the majority of Africans will live in urban centers. Though cities are often engines of economic growth and beacons of opportunity for new residents, dysfunctional cities and towns do not deliver on such promises and are a threat to national economies. As home to investment capital, markets, trade opportunities, and manufacturing facilities, cities can play a critical role in spurring and sustaining agricultural productivity. To achieve its development goals for Africa, USAID must begin to address the challenges and opportunities that this dramatic demographic shift presents.

To meet this need, USAID's Urban Team and the Regional Urban Development Office for Africa (RUDO/A) sponsored "Development and Cities: Urban 101 for Africa", a training course designed for USAID AFR staff in multiple sectors. "Urban 101 for Africa" was held in Pretoria, South Africa, February 23 to 27, 2004

Overview of the Course

The course examined the underlying factors driving urbanization in the region, and explored field-tested development interventions for dealing with challenges that will increasingly face African nations in light of this population shift. Drawing on African case examples, the modules covered urban poverty, HIV-AIDS and its impact on cities, local economic development approaches, building public-private alliances, using the development credit authority for financing cities, decentralization and urban governance. The course drew on both internal and external presenters. Power Point presentations from all course presenters are on the accompanying CD Rom and/or on USAID's Urban Programs website, www.makingcitieswork.org.

The course included an overview of the Global Development Alliance business model and highlighted experiences from various active urban-related alliances including the Cities Alliance, Alliance for African Youth and INCA. A panel discussion with the private sector about why they chose to work with USAID punctuated how alliances are created.

Site Visit

As part of the training, a full day was spent in Alexandra with the Alexandra Renewal Project (ARP). Alexandra is located in the north east section of Johannesburg (approximately 2 square miles) and has many problems commonly associated with urban slums. In February 2001, South African President Thabo Mbeki announced plans to redevelop Alexandra and created the ARP. ARP is a 7 year project with a budget of $1.3 billion Rand ($197 million) and seeks to fundamentally upgrade the living and human development conditions of its residents.

Participants

There were 15 participants in total. They included: USAID/South Africa (4), USAID/Washington (4), USAID/Mozambique (2), USAID/West Africa Regional

Program (1), USAID/Zimbabwe (1) and external partners (3). Participants came from a variety of sectors including democracy/governance, environment, program/strategy development and urban. A full list of participants and presenters is contained in an annex.

They had a variety of expectations regarding the course. The most important motive was to understand the significance of urban areas, the phenomenon of urban growth and poverty, and to appreciate the importance of urban areas in development. A second and important objective was to appreciate the tools which are available.

Sponsorship

The training was jointly sponsored by USAID's Urban Programs Team (EGAT/PR/UP) and the Africa Regional Urban Development Office (AFR/RUDO).

Outcome

As a conclusion to the course, the participants developed outline of strategies that could be applied to urban development in Africa, and taking two countries as case studies, looked at key constraints such as governance, infrastructure deficits, financial difficulties and unemployment. They proposed appropriate interventions and programs to address them, in many cases proposing partnerships with the private sector and other donors. Although the number of participants was disappointing, the course was successful with an overall rating of good to excellent on participant evaluations.

1.   PARTICIPANTS AND THEIR EXPECTATIONS

The course began by engaging participants in dialogue regarding their expectations from the course.

Many of the participants looked forward to obtaining a fuller understanding of the phenomenon of urban development, and the relationship between urban and rural areas. They were interested in obtaining a better understanding of urban issues, such as crime and food security.

A second theme which was of special interest was that of governance: the problems being experienced in local government and obtaining a deeper understanding of the constraints and opportunities in terms of governance. Participatory development was another subject on which a better understanding was being sought. Also considered important were municipal finances, including billing systems.

Most participants also looked forward to understanding the tools available for development and how to design effective programs. Some expressed the need for a better understanding of specific tools such as the GDA.

Many were aware of the value of public private partnerships, and the need to leverage resources for the under-resourced municipalities. They looked forward to understanding the issues involved in this and guidance on how to set up effective programs of this type.

Other matters of interest included the question of improving service delivery and cross-sectoral matters such as HIV/AIDS.

2.   LESSONS LEARNED FROM THE COURSE

Near the close of the training, participants undertook a review and prioritization of the lessons each would take home from the course. There was consensus that the fundamental lesson that participants would take from the course would be a positive one: that cities are engines of growth, and as such offer opportunities for development. The problems of urban areas are multi-sectoral, which means that the synergies of development can be exploited. Targetting these opportunities will require appropriate planning and management, but many local governments are ill-prepared, lacking the skills and resources required.

It is clear that there are substantial infrastructure backlogs which must be addressed, especially water, sanitation, solid waste removal, roads and power.

Many responses highlighted the potential for building alliances in meeting this objective, especially by harnessing the resources of the private sector. In terms of USAID programming, the potential for leveraging resources beyond OYB to facilitate urban programs was well articulated during the presentations on GDA, DCA, Cities Alliance and City Links city to city partnerships. Also highlighted was the need to work with other donors and community groups to scale-up benefits to the urban poor.

Participants agreed that the course raised awareness regarding the different tools and opportunities which they could access to help municipalities respond to urban issues. There was also awareness that working with many partners will require new approaches which can pose coordination and management challenges.

Many participants said that they were now more aware of the need for the public to participate in municipal decisions, especially with regards to service delivery, and its link to sustainable democracy. Definition of the problems is too often a top-down process, and there is a need to clarify the roles of the actors – central government, local government and the community. Although public participation can be onerous, it is considered essential for sustainable development.

Public participation can also challenge governance and institutional relations. Many local governments are weak in terms of financial and human resources, and are therefore not well placed to manage the intricate business of urban governance.

The problems of poverty and unemployment have to be addressed. Poverty affects people's ability to pay for their basic needs and municipal services, and is perpetuated by weak business environment and ill-prepared work force. The issue of whether the very poor should be provided with subsidized services was also debated.

The course emphasized the potential for conflict between private sector and public sector values, and the risk of ideological battles regarding the roles of each in municipal service provision.

A transcript of the interactive sessions is provided in Annex 3.

3.   DEVELOPMENT CHALLENGES AND OPPORTUNITIES: MOZAMBIQUE AND ZIMBABWE

The workshop engaged participants in articulating the development needs of two countries: Mozambique and Zimbabwe, with a view to proposing strategies for meeting these needs.

MOZAMBIQUE
Background
The case of Mozambique is an interesting one in that there is a low level of political will to strengthen local government and its services. There is also a lack of clarity regarding the division of powers and functions between central and local government.

The combination of these factors results in weak administrative capacity and under-resourced local government. The situation is further affected by rapid urbanization. The NGO/CBO sector is poorly organized and does not connect well with government.

In this context, the internal challenges facing the USAID mission are also:
- Difficulties in working across sectors
- Limited resources
- Onerous reporting requirements

The strategy
Purpose
It was agreed that the main aim should be to build capacity at the local level, looking at both the demand side (citizens' effective demand, etc), and the supply side (capacity of local government to deliver). It should be developed with the aid of public participation, and implemented with transparency, accountability and responsiveness on the part of the public sector. It should target the medium-sized cities – those between 50,000 and 200,000. To address the long-term sustainability of service delivery, the urban strategy for Mozambique will also need to take up the revenue raising capability of cities.

Services
The primary target should be the services which are under the jurisdiction of local government such as water, sanitation and solid waste. It should also aim to facilitate the provision of health and education services in which central and local government share responsibility for provision.

A number of partners are involved in the provision of these services, and the strategy should recognise their role. These include local governments, health authorities, municipal water providers and the district administrations.

Other partners would be brought in, including the private sector (traders and manufacturers); CBOs and NGOs, including women's self-help groups, traders and farmers associations.

The Strategic Objective Team would enter into partnerships with other donors where possible. These might include the Cities Alliance, the World Bank, SDC, DANIDA etc.

Approach
The focus of the strategy would be on technical assistance and training. Cities would be clustered so as to support and learn as much as possible from each other. At the national level, best practices would be disseminated.

The urban strategy would primarily sit within the SO "Municipal Governance Increasingly Democratic". However, the interventions would work across sectors, involving three other SO Teams:
SO8 – facilitating health services
SO9 – HIV/AIDS
SO6 – linkages with rural areas.

Results
Improved budgetary prioritization, increased transparency and cost-based charges would be achieved through institutionalized participatory processes and improved financial management by the local authority.

This would result in the improved capacity of local governments to deliver health, water and sanitation services, and greater citizen satisfaction with municipal services.

Funding
A number of sources of funding were identified. These include DA funds and SO budgets from the mission, which may be matched by regional funds. Utilizing the Making Cities Work Partnership Fund, DCA and Cities Alliance could be used to scale-up activities. Finally, GDA and other collaborative private sector initiatives should be viewed as targets of opportunity.

ZIMBABWE
Background
Zimbabwe's local government sector is currently facing many problems. The urban areas are experiencing unprecedented growth due to the influx of rural workers following the collapse of the commercial farming sector. As a result they are characterized by high levels of unemployment and poverty, urban degradation and institutional systems failure.

Because of this anarchic environment, local government is experiencing difficulties in collecting service fees and other revenues. There is an endemic lack of financial and management capacity which deters investment.

The mission has one SO which pertains to local government:

Enhanced citizens' participation in economic and political decision making.

The program looks at both the demand side (development of civil society), and supply side (improving local government capacity and openness to citizens' inputs).

Strategy
Purpose
The proposed strategy has three main objectives:
- Reform of the legal and regulatory framework to enable local government to raise and target resources
- To improve local government's capacity to raise revenue
- To improve the skills of local government managers to provide services for their citizens

There is also a need to improve the local economy by building skills in non-agricultural businesses, and looking at means of adding value to agricultural raw material.

Implementation
The methodology would be to implement activities which::
- Engage with central government regarding the reform of the legal and regulatory framework
- Identify ways and means to effectively and efficiently deliver and manage public services
- Engage with stakeholders on identifying competitive edge
- Market municipalities' competitive edge and prepare workforce to stimulate economic growth

In terms of specific sectors it was felt that:
- Public utilities - meeting people's basic needs in Water/Sanitation and waste management was critical
- Health facilities should be improved
- Education should be made more relevant to promote off-farm skills

Selection of participating cities should be done on the basis of:
- Economies of scale – larger ones would use the funds more effectively
- Their natural resource base
- Current trends in terms of population and economic growth – one should work with cities that were growing, rather than diminishing.

Expected Results
- Improved legal and regulatory framework
- Improved local government capacity to raise revenue and better manage the delivery
- public services improved

Funding
For a practical approach, funds should be sourced through a long-term local governance support/capacitating program. These could include *City Links*, the Cities Alliance (for planning and strategy formulation), and the private sector.

4.   TOWARD AN URBAN STRATEGY FOR AFRICA

In the final session of the course participants contemplated on the most important issues faced by African countries and USAID programs and resources that should be used to address an Urban Strategy for Africa.   The following summarizes this feedback.   AFR/RUDO will use this feedback to inform the development of a regional urban strategy.

It was agreed that the main objective should be:

Building local government management capacity to plan for, finance and effectively, efficiently and equitably deliver services

This is an area that many USAID missions are starting to address.   As more and more people move to African cities, the ability of local governments to provide services will continue to be challenged.   The workshop identified many areas which are causing difficulty in this regard.

Problems

The main problems affecting local government may be summarized as:

1. Unclear definition of roles of Local Government and Central Government, and a centralist tendency in many countries limiting the role of Local Government through ineffectual rules and regulations at the centre which inhibit its capacity to provide services, raise capital etc.

2. Lack of skills at the local level.   This may be caused by low salary scales, unattractive conditions of service, vulnerability to political pressures resulting in job insecurity etc.

3. Weak finances, caused by lack of know-how or impetus to raise own source revenues, poor financial management, poor cost recovery due to poverty of the consumers, inappropriate political interventions, and rigidity of regulatory framework.

4. Pervasive under/unemployment - cities also face the problems of a poor, underskilled, population (revenue) base.

Solutions to these problems fall into six different categories:

Decentralization framework and inter-governmental relations

Local Government continues to rely heavily on fiscal transfers and is subject to the control of national governments.   Appropriate legislation needs to be in place to rationalize resources and responsibilities across levels of government and avoid duplication of roles and unfunded mandates.

Public participation and good governance

There is a need to examine the constraints to good governance posed by the existing legal and regulatory framework.   The strategy would examine the need for reform and would evaluate which potential reforms would yield the greatest results.

One frequently raised issue is poor consultation with and participation by the ordinary citizen in local government decision-making. One objective of reform would therefore be to promote greater transparency, accountability and citizens' input to local government decisions.

Revenue raising

Local Governments need the authority and capacity to raise their own revenue in order to respond to citizen demands and deliver/manage services. Strategy formulation an assessment of which current revenue streams are being exploited, and analyze whether shortfalls are due to political interference, lack of management skills, or inability or unwillingness to pay.

The above analysis could be supplemented by an examination of the potential for increased revenues from new sources, and any obstacles which might exist in getting them operational.

Municipal services and infrastructure

As noted above, rapid urbanization is occurring, and will continue in the coming decades. In Africa, it is resulting in the creation of slums and squatter settlements in and around cities. Much needs to be done to improve city capacity to provide services, particularly clean water and sanitation, to these marginalized urban residents, to mitigate urban environmental health crises.

The ability of most cities to respond to this demand is limited by lack of funds and skills. Innovative thinking is required to address this problem, but there is no doubt that to meet current and future demands on infrastructure by urban populations, municipalities will need greater investment in urban infrastructure.

There is a critical need to expand the capacity of local government to provide infrastructure and services to citizens. USAID could help municipalities by capacitating their access to private sector capital through credit enhancement; involvement by the private sector in service provision through management contracts, concessions and other arrangements; and, creation of an enabling environment for civil society actors.

Housing

Housing has implications for quality of life and many other social buffer issues, it is an important vehicle for economic growth and asset building. Strategies to promote access to housing and housing finance should therefore be directed at helping poorer segments of the population. This has implications for employment generation and micro-lending.

Enabling environment for private sector investment

Cities need to remove constraints to private investment, whether in terms of infrastructure shortfalls, bureaucratic controls, or taxation. In addition to rectifying these aspects, local government might need to consider the development of enabling

legislation and policies that attract private sector investment to cities, as well as developing a skilled workforce.

Local economic development vis-a-vis creating an enabling environment for the poor and slum dwellers is equally important. There is a need for more diversified employment generation: economic development strategies should address more diversified off-farm, urban employment.

In addition to these overarching issues, there are tools, implementation mechanisms or other factors which should be considered:

- **National level urban development frameworks** – African governments need assistance in developing economic development frameworks that draw from urban-rural synergies.
- **Cross-border strategies** -- There may be some need for cross border strategies that both facilitate learning and address urban issues among multiple countries.
- **Regional Development Credit Authority** -- An umbrella facility for Africa could facilitate access to DCA for municipal infrastructure throughout Africa.
- **Millennium Challenge Account (MCA)** -- What will be the role of urban development programs in MCA countries?

5.   SUMMARY OF PARTICIPANT EVALUATIONS

At the close of the workshop, participants completed an evaluation of each session, the resource material and logistical arrangements. The average score for the workshop was good. Some of higher rated sessions included those on "What is urban?", "Why Cities are Important", "Urban Poverty in Africa", "USAID's Urban Tools and Resources" and "Development Credit Authority". Participants also, on average, felt the documentation and supporting material provided was outstanding. The session on the impact of HIV-AIDs was rated poorly. A full summary of the participant evaluation can be found in Annex 4.

Annex 1: Program

Monday 23 February 2004 (Day 1)

Theme: Setting the Scene: Urban Challenges
This module examines the challenges facing the urban areas of Africa. These include rapid urbanisation, insanitary and sometimes unsafe informal settlements and congested inner-city slums; poverty, with concomitant crime, poor health and housing; decentralisation, without promised central government transfers; infrastructure problems and major resource constraints.

Time	Activity	Session	Speaker
08h30 - 09h00	Welcome	Welcome	**Dirk Dijkerman**, Mission Director, USAID/South Africa
09h00 -10h00	Introduction	Overview of Course 101 / Course expectations / Course Road Map	**Richard Martin**, Director, Sigodi Marah Martin (Pty) Ltd, Facilitator **Ken Finlayson**
10h00 - 10h30	Presentation	What is Urban? Interactive exercise	**Marcia Glenn**, Sr. Urban Advisor, Africa Regional Urban Development Office (RUDO)
10h30 -11h00	Presentation	Why are Cities important?	**Sarah Wines**, Housing and Urban Environment Team Leader/Dir. RUDO
11h00 - 11h20	Coffee/Tea		
11h20 - 12h00	Presentation	Developing an Urban Program	**Joel Kolker**, Economic Growth and Private Sector Officer
12h00 - 13h30	Lunch		
13h30 - 14h30	Discussion	Governance challenges in Africa's burgeoning urban areas	Facilitators
14h30 - 15h30	Presentation	Addressing urban poverty in Africa	**Dr Alex Ezeh**, Executive Director, African Population and Health Research Centre, Nairobi, Kenya
15h30 - 15h50	Tea/Coffee		-
15h50 - 16h30	Presentation	Decentralization: targeting resources?	**Pundy Pillay**, Senior Economist, Research Triangle Institute
16h30 -17h00	Discussion	Urban issues in Africa: participant perspectives	Facilitator, Presenters

Tuesday 24 February 2004 (Day 2)

Theme: Urban opportunities

This module looks at the opportunities that urban areas provide and offers specific examples of urban programs and the environment in which they operate. It looks at successes and difficulties in key sectors: finance, economic development, HIV/AIDS and the environment.

Time	Activity	Session	Speaker
08h30 - 09h30	Overview (facilitator)	Opening exercise (interactive) Challenges of Urbanization	**Richard Martin** **Ken Finlayson**
09h30 - 10h30	Presentation	The impact of HIV/AIDS on urban development and service delivery	Professor **Richard Tomlinson**, P&DM, University of Witwatersrand
10h30 - 10h50	Coffee/Tea	-	
10h50 - 11h50	Presentation	Urbanization and the environment	**Rob Short**, Environmental Consultant
11h50 -12h20	Presentation	The role of local government in local economic development	**Aubrey Manganye**, Johannesburg Development Agency
13h00 -14h00	Lunch		
14h00 - 15h00	Presentation	CityLinks: City-to-City Partnership Program	**Isabelle Bully-Omictin**, Director, Business Development, International City/County Management Association
15h00 - 16h00	Presentation	Global Development Alliance (GDA)	**Curt Reintsma**, GDA **Rebecca Goldman**, GDA
16h00 - 16h20	Tea/Coffee		
16h20 - 17h00	Briefing: Site Visit to Informal Settlement	Overview and rubrics for township visit	Various (Richard Martin)

Wednesday 25 February 2004 (Day 3)

THEME – SITE VISIT

ALEXANDRA - A poor area encircled by one of the wealthiest parts of South Africa. It is one of the oldest townships in Johannesburg which is notable for having escaped the policy of forced removals. It features a wide range of housing, from formal freehold housing and rental housing to squatters, and has recently been the beneficiary of a major upgrading program. The participants will be introduced to the many programs which have been undertaken there, and will have an opportunity to meet a variety of people involved in the community.

Time	Activity	Session	Speaker
08h30 - 09h30	Travel to Alexandra	-	-
09h30 - 10h00	Presentation	Introduction and background on the Alexandra Renewal Project (ARP)	**Xoliswa Mkhalali**, Alexandra Renewal Project
10h00 - 10h45	Presentation	Social Services Cluster	**Jessie Turton**, ARP
10h45 - 11h00	Tea/Coffee		
11h00 - 11h45	Presentation	Physical Development Cluster	**Mike Morkel,** ARP
11h45 - 12h30	Presentation	Local Economic Development	**Themba Mola**, ARP
12h30 - 13h30	Lunch		
13h30 - 15h30	Tour of Alexandra	A tour of Alexandra in Johannesburg, to get a general understanding of the issues faced by informal dwellers. We will look at how they, their municipality and civil society are working to improve their lives	
15h30 - 16h30	Return to hotel		

Thursday 26 February 2004 (Day 4)

Theme: Resources / Tools

This module looks in detail at the tools available to development practitioners. These include specific USAID instruments and other agencies which specifically operate within the urban context. There will be a detailed case study of the operation of public private partnerships in the South African context – how a mechanism was established between USAID and the Government to undertake feasibility studies for PPPs and facilitate deals, as well as examples of projects undertaken.

Time	Activity	Session	Speaker
08h30 - 09h30	Discussion / debriefing of Site Visit	What we saw, what we learned	Facilitators (R Martin, K Finlayson, presenters)
09h30 -10h00	Introduction to resources and tools	How USAID Urban Programs can help missions	**Faye Haselkorn**, EGAT/Urban Programs & **Sarah Wines**, Regional Urban Development Office
10h00 - 11h00	Presentation	Introducing the Cities Alliance	**Carien Englebrecht**, Cities Alliance – Africa
11h00 - 11h20	Coffee/Tea		
11h20 - 13h00	Presentation	Delivering better services, PPPs and GDA: The experience of the Municipal Infrastructure Investment Unit	**Jim Leigland**, Municipal Infrastructure Investment Unit, SA
13h00 - 14h00	Lunch		
14h00 - 15h00	Presentation	Development Credit Authority (DCA)	**Joel Kolker,** Economic Growth and Private Sector Officer USAID/SA **and Karl Fickenscher** Regional Legal Advisor USAID/SA
14h00 - 14h30	Presentation	Leveraging private sector funds for development projects	**Reg Max**, INCA **Noel Jelliman**, INCA **Johan Kruger**, INCA
14h30 - 15h30	Discussion	Private sector round table: Private Sector Philanthropy, trends, approaches, and partnerships	**Curt Reintsma**, GDA Secretariat; USAID private sector partners
15h30 - 15h50	Tea/Coffee		
15h50 - 16h10	Presentation	EGAT Urban energy programs	**Omar Hopkins**, AAAC Diplomacy Fellow, USAID EGAT/EIT/Energy
16h10 - 16h40	Presentation	Challenges and opportunities in designing cross-sectoral programs	**Miguel de Brito**, USAID/Mozambique

Friday 27 February 2004 (Day 5)

Theme: The Way Forward: Developing urban strategies and programs

The final module will assist participants apply the knowledge obtained in the course to their own situation. Where suitable it will allow them to develop the basis for a strategy for their mission which may be presented for discussion purposes on their return. This will be conducted on a group basis to widen the terms of reference of the discussions and encourage debate.

Time	*Activity*	*Session*	*Speaker*
08h30 - 09h00	Discussion	Building synergies	**Richard Martin / Sarah Wines**
09h00 - 11h00	Mini Workshop	Identifying the key elements of an urban strategy and formulating a regional objective	In groups
11h00 - 11h20	Coffee/Tea		
11h20 - 13h00	Plenary session and wrap-up	Toward an urban development strategy	All (facilitated)
13h00 - 13h15	Closing and Certificates		**Dirk Dijkerman,** Director, USAID/South Africa

Annex 2:   Participant and speaker list

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opportunities of designing
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Annex 3: Transcripts of interactive sessions

Prior to the start of the course, participants were asked to share their thoughts on what the term 'urban' meant to them. The following is a summary.

Monday February 23, 2004

- People living in cities
- High density
- Market place for the exchange of goods/ideas
- Access to amenities, services, recreation.
- The term urban is used to classify one type of community/government situation. Other examples being rural & peri-urban. In urban settings there is the expectation of basic levels of infrastructure, government structure, social services…. Population density is also a way of setting urban parameters.
- Urban is a fluid term b/c different people define standards in a variety of ways.
- Often considered more developed.
- Rural to urban conditions on a continuum which night imply that some communities are more/less urban than others
- Indicators for "Urbanness" cover a range of facets – implying that some areas may be more urban in some places plus less so in others
- Services plus economies of scale
- Transport linkages
- Management centers
- (high) concentration of human settlements with common services in one geographical area
- Social interaction
- System of social management

Governance Challenges in Africa's Burgeoning Cities
Summary by Richard Martin

Legislation and Policy

- Powers and functions
- Finance
- Control

Finance

- Taxes (rates)
- Charges (license fees, markets)
- Services/trading (water / electricity / car parks)

Management

- Structure – council staff (delays)
- Staff and conditions (overstaffed, underpaid)
- Skills (bad management, unfocused, good people poached)

Transcriptions from the Group Sessions

The participants were invited to state their own perceptions about the governance challenges facing urban areas, and local government in particular. They were divided into two groups to debate and document the challenges. The following are their conclusions:

Group 1

Management

- Corruption
- Lack of capacity (material, skills and funds)
- Traditional versus Modern
  - Patronage
  - Adherence to status quo
- Localized versus economies of scale
- Interference
- Lack of responsiveness to the needs of citizens - political self interest
- Efficiency versus welfare
- Political appointments versus qualifications of personnel
- Need for consultative mechanisms

Finance

- Lack of funds
- Unfunded mandate
- Lack of capital planning
- Lack of adequate information to adequately plan
- Mismatch of quality of services versus ability to pay
- Over-reliance on cross-subsidies
- There is no "champion"

Legislation

- Lack of legal and regulatory framework and "buy-in" at all levels of government
- Lack of synergy between different levels of government
- Lack of enabling legislation

Group 2

Management

- Policy makers / councilors lack skills and experience
- No effective system in place to respond to citizens
- Performance management not enforced
- Performance monitoring of services insufficient
- Bad mindset / lack of initiative
- Local politicians loyal to political party and not citizens

- Difficult to attract qualified staff
- Limited authority to make decisions
- Role of unions (in SA)
- Politically volatile
- Information management is a problem

Finance

- Unfunded mandate
- Tax base low – poor population
- Limited revenue sources
- Time lag for budget approval
- Political manipulation of central government transfers
- Management systems for revenue collection not in place (no cadastral, meters, billing systems etc.
- National policies negatively impact on local economy

Legislation

- Central control through legislation through legislation
- Lack of understanding of legislation (public and practitioners)
- Disconnection between planning and service delivery

Alexandra Renewal Project (ARP)
Thursday February 26
Reflections on the Study Tour

On the morning after the site visit to Alexandra, participants were invited to reflect on what they had learned and to comment on what they had seen and heard. Aspects such as the use of resources, the project management methodology, the participatory framework and sustainability of the intervention were highlighted as matters for debate by the facilitators.

The participants were, once more, divided into groups. The following were their conclusions.

Group 1
- Obtained a good overview of the planning process
- Impressed with a settled community which have a real life

Concerns
- What will the 'real' impact be at the end of the project
- High cost
- Focus on heavy provision of services to/for people (this has been given to people)
- How will the project be evaluated at the end of the project
- People have been displaced, will the evaluation assess the impact on those displaced
- Heterogeneous housing: How are benefits going to be allocated amongst various levels / income strata
- Very strong welfare / services provision 'gift'
- No local government capacity / ownership promoted (impacts on sustainability of project)
- There is a sense that the project was implemented to redress past wrongs
- Illegal immigrant situation makes participation difficult
- More consultation than participation
- How is transition to payment going to be managed?
- Will culture of payment be instilled before subsidy runs out?

Group 2
- In general, infrastructure is better than in other African cities
- Too optimistic about people's willingness to pay for upgrading
- Translocating problem – Alex will look nice, however, the problem exists elsewhere
- Unclear that capacity and resources of city government adequate to maintain
- Who pays for the upgrading? (potential conflict)
- Target area could have been broader (residential)
- Phase-n infrastructure improvements
- Construction and infrastructure is not creating enough work for Alex residents
- Are the projects community-driven? Possible lack of ownership
- Warehouses are in appalling condition and should be first priority

- Community 'apparatus' – NGOs, CBOs needs to be engaged, not just government
- Encouraging that people are being empowered
- Limited vision on how to do LED
- Need more opportunities for PPPs
- Replicability? Different government priorities in Mozambique and other African cities
- Future visits should allow more time with community / community groups and need to be exposed to economic and social aspects (not just 'physical')

Lessons from the course
Friday February 27, 9 00 a.m.

At the beginning of the last morning, participants were invited to record their reactions to the course. They were asked to write the five things that they would take back with them, the take-home lessons of the course.

Each person's number one priority was recorded first. A second round was then undertaken, which allowed them to state their second priority, etc. Clearly, a subject that had already been raised was not recorded a second time, and the next on the list was used.

1. Capacity/readiness of local government to act is limited (on their own). There is a need to access and coordinate resources with NGOs, donors, etc.
2. Scope for improving service delivery - but watch out for pitfalls – conflict / alignment of private and public sector values.
3. Cities are engines of growth with economies of scale, but they are also concentrations of challenges that require good planning and management to ensure sustainable development
4. There is a need to harness the synergies of all development players and this requires appropriate planning and management
5. Unlimited opportunities for leveraging private sector through loan guarantees
6. Overwhelmed by complexities of working in the urban environment
7. More aware of tools and opportunities
8. Challenges to work multi-sectorally with divers interests
9. Have many tools, but it is difficult to work when there is no political will
10. Urban development in multi-sectoral
11. Rapid urbanization needs to be taken into account when planning country programs
12. Need to help missions rationalize role of local government in achievement of results
13. Field trip – looking at urban landscape (institutional, physical, urban-rural linkages)
14. Reinforced role of private sector could be more fully exploited
15. The private sector is a major driver with regard to infrastructure provision
16. Importance of engaging communities, not just participation (context specific)
17. While participation is expensive it is necessary for sustainable urban development.
18. Extreme poverty at the same time
19. Poverty is more and more an urban problem as is unemployment
20. Building broad-based alliances balanced with managing those alliances
21. Balancing ability to pay with providing minimum level of services
22. Housing and services – social, economic and physical
23. Who defines the problem and calls the shots? Central government, local government, community, etc.
24. How does USAID make sure our programs involve the communities (this aspect requires more attention)
25. Urban programs can leverage resources beyond OYB – must be driven by strategy and local political will

26. Partnerships are very critical in for solving urban challenges. Tools like GDA and DCA must be utilized more and more to leverage resources
27. Urbies are nice people
28. Urban programs conceptualized, designed in same ways as other USAID programs
29. Don't focus on urban vs. rural poor rather focus on how they fit into the larger picture

Friday February 27
Issues, Solutions and Interventions

At the second session of the last day, participants were invited to think of the major issues that they had become aware of in the course, and what suggestions they had to resolve the problem. This table summarizes their responses.

ISSUE	SOLUTION / INTERVENTION
Omar Hopkins	
Access to municipal services ▪ Affordability ▪ Willingness to pay ▪ Service standards Land tenure	Linkages between service provider and community Packaging of service provision
Miguel de Brito	
▪ Services are provided by central government, but are managed by local structures ▪ Ability of Municipality to raise their own sources of revenue ▪ Lack of capital for infrastructure	▪ Establish linking mechanisms between municipality and other agencies ▪ Provision of Technical Assistance to provide services in innovative ways ▪ Ways to assist municipalities to obtain capital
Sharon Pauling	
▪ High Unemployment	▪ Assist in employment generation in non-oil sector ▪ Agricultural production in less conventional crops ▪ Enhance market processing skills ▪ Municipalities to engage private sector to develop services
Zivanayi Manyika	
▪ Services strained due to rapid urbanisation and lack of capacity of municipalities to deliver services	▪ Concentrate on 6 large cities ▪ Assist revenue generation ▪ Sell program workshop, training ▪ Define training needs (standards/outputs) ▪ Employ contractor to run training as will result in better managed and more responsive cities
Euridia De Azevedo	
▪ Rapid Urbanization – informal settlements ▪ Lack of services (water, solid waste, etc)	▪ Train municipal officials - civic education on a continuous basis ▪ Incentives for officials to deliver better services ▪ Political will

Alan Hackner	
▪ Inverse relation between urbanization and poverty: Ability to pay for services ▪ Ability of municipalities to fund services	▪ Financial Programs ▪ Micro finance ▪ Safety net for poor ▪ Link micro businesses with bigger business (marketing, finance) ▪ Programs to assist municipalities to access capital ▪ Program to address risk-averse capital markets
Themba Mthethwa	
▪ Lack of capacity in local government ▪ Unemployment ▪ Housing subsidies misused	▪ Skills training for elected officials ▪ Labor intensive projects
Robert Clausen	
Urbanization Environmental degradation Solid waste disposal	Strengthen local government capacity Environmental improvement by improved technology / economic growth / enterprise development
David Chikodzore	
▪ Water and sanitation inadequate/non-existent ▪ Unemployment ▪ Crime	▪ Collect baseline info on morbidity / mortality ▪ Build VIP latrines ▪ Supply water to specific points, purify & get beneficiaries to pay NGO s ▪ Identify women's groups and train them ▪ Monitor statistics & use women to evaluate ▪ Replicate in other areas / community training

DEVELOPMENT CHALLENGES AND OPPORTUNITIES:
Two country case studies

Mozambique

- Lack of political will at central level
- Lack of resources at local level and capacity to manage resources and urban problems
- Survival economies
- Civil society not very organized – inward, self-help focused
- Rapid, post-conflict urbanization
- Secondary city dynamic
- Unplanned urbanization
- Administrative decentralization (eg, roads, markets, basic services)
- Need political will to put macro-political and economic framework in place
- Economic growth
- PRSP in place
- Disconnection between civil society and government

USAID Challenges

- Difficult for implementers to work cross-sectorally
- Limited resources / congressional imperatives / presidential initiatives
- Reporting requirements

Purpose of Urban Strategy

- Need to engage citizens
- Build capacity at local level
- Demand-side – citizens
- Supply-side – local government
- More transparency, accountability and responsiveness

Services to target

- Those under control of local government (water, sanitation, solid waste)
- Facilitate health, education and HIV/AIDS
- Cities to target – medium size (50-200,000 pp)

Who are the partners?

- Local government
- Health Authorities
- Municipal water providers
- District administration
- Private sector – traders, manufacturers
- CBOs, NGOs, Women's self-help groups, traders associations, farmers associations

- Cities Alliance, World Bank, SDC, DANIDA, other donors

Approach

- Training and technical assistance
- Clustering cities
- National level – disseminate best practices

Synergies

- SO8 – facilitating health services
- SO9 – HIV/AIDS
- SO6 – linkages with rural areas

Results / indicators / outcomes

- Greater citizen satisfaction with municipal services
- Improved capacity of local governments to deliver services (health, water and sanitation)
- Financial management (should be an institutionalized participatory process)
  - ➢ Budget prioritization
  - ➢ Transparency
  - ➢ Charges

Funding

- DA from Mission
- Regional funds (matched)
- Making Cities Work
- SO budgets
- Cities Alliance (leverage)
- GDA / private sector infrastructure initiatives

Zimbabwe

- Local government unable to raise revenues
- Local government lacks capacity to manage
- Unemployment rampant because agricultural sector was heavily relied on and disruption has caused many lost jobs
- Ability to attract investment very poor
- Large influx of rural migrants to cities because of failed agricultural sector

SO: Enhanced citizens' participation in economic and political decision making

Old Structure
Local governance program
Demand side – Development of civil society
Supply side – improving local government capability and openness to citizens' inputs

New Structure (strategy)
Need to Target:
- ➢ Legal and regulatory framework to enable local government to raise and target resources
- ➢ Charge and collect fees
- ➢ Skills of local authority managers to service citizens

Unemployment
- Skill building in non-agricultural business to reduce over-reliance on one type of economy
- Do more value added products for trade purposes

Strategy
To build the capacities of local authorities to:
- Engage with stakeholders on identifying competitive edge production
- Engage with central government for the creation of an enabling legal and regulatory framework (implications for revenue raising and implementation capacity
- To improve local government ability to effectively and efficiently deliver and manage public services
- To articulate positive aspects of municipalities and market them to enhance their competitiveness

- Strategy is important because it seeks to address change from the status quo
- Synergies with economic growth
- Health: better services
- Education: more relevant to have an off-farm workforce
- Funding: Long-term local governance program
  - ➢ CityLinks
  - ➢ Private sector
  - ➢ Cities Alliance

Site selection

- Cities most likely to provide results
  - ➢ Economies of scale
  - ➢ Natural resource attributes
  - ➢ Those growing rather than diminishing

Friday February 27

URBAN STRATEGY FOR AFRICA

- Building local government management capacity to plan for and deliver services
- Employment generation
- Revenue raising
- Municipal services infrastructure (water and sanitation)
- Decentralization framework and inter-governmental relations
- Diversification of employment (off-farm)
- Enabling environment for private sector investment
- Broader governance issues
- National level urban development frameworks – including enhancing urban-rural linkages
- Cross-border strategies?
- Regional Alliance
- Regional Development Credit Authority
- MCA
- Improving the lives of slum dwellers
- Housing as a vehicle for economic growth and asset building

Annex 4: Participant evaluation results and form

Each participant was asked to complete an evaluation form which could be used to compile the results in a numerical form. Unfortunately some participants left early, and one chose not to use the boxes provided to give numerical scores, but rather to write comments only. There were therefore only eight completed forms.

The participants were asked to rate each session and the logistical arrangements etc, a total of 34 items, in terms of Poor, Satisfactory, Good and Excellent. The scale used 1 point for poor, and 4 points for satisfactory, 7 points for good and 10 points for excellent. The average score was 7.14, i.e. better than Good overall.

Outstanding sessions (those scoring an average of more than eight points) were:
>What is urban? – Marcia Glenn
>Why are cities important? – Sarah Wines
>Addressing urban poverty in Africa – Alex Ezeh*
>Decentralization: targeting resources – Pundy Pillay
>How USAID programs can help missions – Faye Haselkorn
>Development credit authority – Joel Kolker and Karl Fickenscher*
>Documentation and Supporting material*

The items with an asterisk were top equal at 8.88 points.

One session was considered poor:
>The impact of HIV/AIDS – Richard Tomlinson at 2.71 points.

Others scoring less than 6 points were:
>Governance challenges – group session
>The introduction to the Alexandra Site Visit – Xoliswa Mkhalali
>Take-home exercise – Alexandra site visit

The scores from the numerical evaluation are given below.

Day 1	Introductory session	6.25
	What is urban?	8.13
	Why are cities important?	8.13
	Governance challenges (group session)	5.88
	Addressing urban poverty in Africa	8.88
	Decentralization: targeting resources	8.13
Day 2	Opening session (interactive)	6.14
	The impact of HIV/AIDS	2.71
	Urbanization and the environment	6.57
	The role of local government in LED	6.57
	CityLinks: city-to-city partnership program	7.00
	Global Development Alliance	7.75
	EGAT Urban energy programs	6.63
Day 3	Alexandra Renewal Project: introduction	5.88
	Local economic development	6.63
	Social services cluster	7.38
	Physical development cluster	7.75
	Tour	7.86
	Take home exercise	5.50

Day 4	What we saw, what we learned	7.00
	How USAID programs can help missions	8.13
	Introducing the Cities Alliance	7.75
	Development Credit Authority	8.88
	Delivering better services, PPPs and the GDA	7.43
	INCA: leveraging private sector funds and round table discussion	7.75
	Challenges and opportunities in cross sectoral programs	7.00
Day 5	Course review and questions	6.57
	Identifying key elements of an urban strategy	7.43
	Toward an urban development strategy	7.00
Logistics	Documentation and supporting material	8.88
	Accommodation	7.50
	Transport	7.43
	Venue	7.00
	Other logistics	7.43

Participants were invited to write comments. Respondents' comments were as follows:

1. It was a very informative workshop for me, and I hope I could put in practice some lessons learned, if the mission in Mozambique worked in specifically urban development, and especially in the capital city of Mozambique – Maputo. Unfortunately Maputo is not Mission focus area!
2. Very challenging in terms of logistics for on-site people (local people). Thus could not attend all presentations because there would be other pressing work issues to attend to.
3. The course is very good – it has been an eye-opener for me. The venue should not be at an USAID office as it has its usual disturbance problems. Tying up or packaging the course to bring out the most important aspects could improve on participants' retention. Otherwise keep it up. Excellent work.
4. Not enough time was provided for discussion in some issues. More focus should have been placed in learning from the recipients of services, for example meetings with community groups from Alexandra to learn about participation process. Homework exercises should have been discussed daily.
5. Facilitation: strengths – kept time very well. Weaknesses – initially too top-down, not enough time for questions, group participation, interaction, very frustrating in that regard. As a result it is difficult to see how the organizers have benefited from the expertise/diversity of the group and what they had to offer. Although facilitators have excellent technical skills and knowledge, the workshop would have greatly benefited from more experienced facilitators.
6. It's a pity not many people turned up. A very useful course. Obviously the time would not have allowed us to do an in-depth coverage and discussion of issues. It's been an excellent opportunity for networking and refocusing.
7. Overall strengths: 1: Field trip, but it was too short and felt like a windshield survey, it might have been improved by having several smaller groups and having an opportunity to meet some of the residents. 2: Group exercises were

good, as was the reporting back. 3: Social opportunities to meet our colleagues. 4: A good selection of speakers.

Overall weaknesses: 1: Not enough mission representation from outside SA. 2: The course flow would have been improved by having a combination of moderators and then the local experts in governance to help frame the issues and bring in speakers etc.

General comments (neutral): !: The moderators did a good job of keeping us on time, but enough flexibility needs to be built into the schedule to allow more questions and discussion where there is an expressed interest.

Participants also sent the following comments directly to the sponsoring offices after they had returned to their offices.

1. First, I would like to thank you for putting together an interesting and enjoyable workshop. I took home a lot of ideas as well as several kilos of useful materials. It was also a pleasure meeting you all and getting to know you a bit. (Rob Clausen, USAID/WARP)

2. It was indeed a wonderful experience attending the Urban 101 for Africa in Pretoria – delving into questions, issues and possible solutions for the growing urban challenges in Africa. The course was intellectually refreshing and I enjoyed the breadth of issues/subjects covered. Interacting with complexities of the urban place and interrogating its challenges is always stimulating and fascinating. For me in particular it was a fine opportunity to hear, discuss and familiarize myself with the USAID perspective on urban development - a perspective I am willing to participate in its application as well as contribute to its growth and refinement.

3. We are hopeful that the opportunities that are offered through Making Cities Work will find much use in the not so distant future in Zimbabwe. Please be assured that there will be a continued engagement with urban matters as our economies, our politics, our technological advancement and social development is driven from our urban nodes. It is also exciting to note the clear focus PR/UP has on rural-urban linkages and the need for an integrated approach to development challenges manifesting in cities. (Zivanayi Manyika, USAID/Zimbabwe)

4. May I wish you all the best in all your endeavors, and thank you to your office and RUDO in Pretoria for organizing the well run Urban 101 for Africa.

5. Thank you and others involved for making this course happen. I really gained a lot in terms of information and have "saved" some lessons learned. My only concern in my country will always be the question related to the Political Will linked to the Lack of Initiatives. (Aurelia de Azevado, USAID/Mozambique)

DEVELOPMENT AND CITIES
URBAN 101 FOR AFRICA

February 23 to 27, 2004
USAID, Pretoria, South Africa

EVALUATION

We would be grateful if all participants could complete the form below.

1. Name/Position _____

2. Please tick the category that best reflects your opinion about the following sessions:

Day 1: Monday 23 February	Poor	Satisfact.	Good	Excellent
Introductory session *Richard Martin/Ken Finlayson*				
What is Urban? *Marcia Glenn, Sr. Urban Advisor, Africa Regional Urban Development Office (RUDO)*				
Why are Cities important? *Sarah Wines, Housing and Urban Environment Team Leader/Dir. RUDO*				
Governance challenges (group exercise) *Richard Martin / Ken Finlayson*				
Addressing urban poverty in Africa *Dr Alex Ezeh, Executive Director, African Population and Health Research Centre, Nairobi, Kenya*				
Decentralization: targeting resources? *Pundy Pillay, Senior Economist, Research Triangle Institute*				

Day 2: Tuesday 25 February	Poor	Satisfact.	Good	Excellent
Opening exercise (interactive) *Challenges of Urbanization R Martin / K Finlayson*				
The impact of HIV/AIDS *Professor Richard Tomlinson, P&DM, University of Witwatersrand*				
Urbanization and the environment *Rob Short, Environmental Consultant*				
The role of local government in LED *Aubrey Manganye, Johannesburg Development Agency*				
CityLinks: City-to-City Partnership Program *Isabelle Bully-Omictin, Director, Business Development, International City/County Management Association*				
Global Development Alliance (GDA) *Curt Reintsma, GDA* *Rebecca Goldman, GDA* *Karl Fickenscher, Regional Legal Advisor, USAID/SA*				
EGAT Urban energy programs *Omar Hopkins, AAAC Diplomacy Fellow, USAID EGAT/EIT/Energy*				

Day 3: Wednesday 25 February	Poor	Satisfact.	Good	Excellent
Alexandra Renewal Project (ARP) *Xoliswa Mkhalali, Alexandra Renewal Project*				
Local Economic Development *Themba Mola, ARP*				
Social Services Cluster *Jessie Turton, ARP*				
Physical Development Cluster *Mike Morkel, ARP*				
Tour of Alexandra				
Take home exercise *All participants*				

Day 4: Thursday 26 February	Poor	Satisfact.	Good	Excellent
What we saw, what we learned (Alex.) *Facilitators (R Martin, presenters)*				
How USAID Urban Programs can help missions *Faye Haselkorn, EGAT/Urban Programs & Sarah Wines, Regional Urban Development Office*				
Introducing the Cities Alliance *Carien Englebrecht, Cities Alliance – Africa*				
Development Credit Authority (DCA) *Karl Fickenscher, Regional Legal Advisor, USAID/SA Joel Kolker, Economic Growth and Private Sector team Leader, USAID/SA*				
Delivering better services, PPPs and GDA *Jim Leigland, MIIU, SA*				
INCA: Leveraging private sector funds for development projects, Capacity Building and Africa Initiatives ***Johan Kruger, Noel Jelliman, Reg Max, INCA*** **Private sector round table: Private Sector Philanthropy, trends, approaches, and partnerships** *INCA Team (as above) Ntutule Tshenye, The Youth Development Trust Curt Reintsma, GDA Secretariat; USAID private sector partners*				
Challenges and opportunities in designing cross-sectoral programs *Miguel de Brito, USAID/Mozambique*				

Day 5: Friday 27 February	Poor	Satisfact.	Good	Excellent
Course Review and questions *Richard Martin*				
Identifying the key elements of an urban strategy and formulating a regional objective *In groups*				
Toward an urban development strategy *All participants*				

3. Please tick the category that best reflects your opinion about the following support services and facilities:

Support services and facilities	Poor	Satisfact.	Good	Excellent
▪ Documentation and supporting material				
▪ Accommodation				
▪ Transport				
▪ Venue				
▪ Other logistics				

4. Please write any comments you might have on Urban 101:

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Thank you very much for your co-operation.